

# Exhibit A



**BrokerCheck Report**  
**MARC B ADELMAN**  
CRD# 2729186

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## About BrokerCheck®

BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.

- Please note that the information contained in a BrokerCheck report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
  - o information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
  - o information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <https://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

- **Are there other resources I can use to check the background of investment professionals?**

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**MARC B. ADELMAN**

CRD# 2729186

This broker is not currently registered.

**Report Summary for this Broker**

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

**Broker Qualifications**

This broker is not currently registered.

**This broker has passed:**

- 0 Principal/Supervisory Exams
- 1 General Industry/Product Exam
- 1 State Securities Law Exam

**Registration History**

This broker was previously registered with the following securities firm(s):

**CITIGROUP GLOBAL MARKETS INC.**

CRD# 7059  
NEW YORK, NY  
12/1998 - 05/2009

**CITICORP SECURITIES, INC.**

CRD# 7474  
NEW YORK, NY  
04/1996 - 12/1998

**Disclosure Events**

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

Are there events disclosed about this broker? **No**



## Broker Qualifications



### Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

This broker is not currently registered.

## Broker Qualifications



### Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below.

**This individual has passed 0 principal/supervisory exams, 1 general industry/product exam, and 1 state securities law exam.**

### Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

### General Industry/Product Exams

Exam	Category	Date
General Securities Representative Examination	Series 7	03/29/1996

### State Securities Law Exams

Exam	Category	Date
Uniform Securities Agent State Law Examination	Series 63	10/21/1996

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at [www.finra.org/brokerqualifications/registeredrep/](http://www.finra.org/brokerqualifications/registeredrep/).

## Registration and Employment History



### Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
12/1998 - 05/2009	CITIGROUP GLOBAL MARKETS INC.	7059	NEW YORK, NY
04/1996 - 12/1998	CITICORP SECURITIES, INC.	7474	NEW YORK, NY

### Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

**Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.**

Employment Dates	Employer Name	Employer Location
12/1998 - Present	CITIGROUP GLOBAL MARKETS INC.	NEW YORK, NY

### Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious or fraternal and is recognized as tax exempt.

INDEPENDENT CONTRACTOR/ACTOR IN A TESTIMONIAL TELEVISION COMMERCIAL.  
TALENT PARTNERS, THE AGENT FOR J WALTER THOMPSON AD AGENCY AND JETBLUE AIRLINES PURSUANT TO A STANDARD SCREEN ACTORS GUILD (SAG) COMMERCIAL CONTRACT.  
THIS BUSINESS IS NOT INVESTMENT RELATED. RELATIONSHIP BEGAN ON OR ABOUT MARCH 24, 2006. WILL DEVOTE LESS THAN 2 HOURS PER MONTH TO THIS OTHER BUSINESS AND NONE DURING SECURITIES TRADING HOURS.  
ROCKY MOUNTAIN DAY CAMP, LLC  
BUSINESS IS INVESTMENT RELATED  
ADDRESS OF BUSINESS:  
3414 WEST TORREY'S PEAK DRIVE  
SUPERIOR, CO 80027  
SUMMER DAY CAMP FOR CHILDREN IN SUPERIOR, COLORADO AREA.  
DIRECTOR  
AUGUST 23, 2007  
APPROXIMATE NUMBER OF HOURS/MONTH DEVOTED TO BUSINESS:  
3-5

## Registration and Employment History



### Other Business Activities, continued

APPROXIMATE NUMBER OF HOURS/MONTH DEVOTED TO BUSINESS DURING SECURITIES TRADING HOURS:

0

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**End of Report**



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**BrokerCheck Report**  
**RICHARD ELLIOT BURNS**  
CRD# 2102729

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**RICHARD E. BURNS**

CRD# 2102729

**Currently employed by and registered with the following Firm(s):****CITIGROUP GLOBAL MARKETS INC.**

390 - 388 GREENWICH STREET

NEW YORK, NY 10013-2396

CRD# 7059

Registered with this firm since: 09/01/1998

**Report Summary for this Broker**

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

**Broker Qualifications****This broker is registered with:**

- 15 Self-Regulatory Organizations
- 5 U.S. states and territories

**This broker has passed:**

- 1 Principal/Supervisory Exam
- 2 General Industry/Product Exams
- 1 State Securities Law Exam

**Registration History****This broker was previously registered with the following securities firm(s):****SALOMON BROTHERS INC.**

CRD# 740

NEW YORK, NY

10/1990 - 09/1998

**Disclosure Events**

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

Are there events disclosed about this broker? **No**

## Broker Qualifications



### Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

**This individual is currently registered with 15 SROs and is licensed in 5 U.S. states and territories through his or her employer.**

### Employment 1 of 1

Firm Name: **CITIGROUP GLOBAL MARKETS INC.**

Main Office Address: **390 - 388 GREENWICH STREET  
NEW YORK, NY 10013-2396**

Firm CRD#: **7059**

SRO	Category	Status	Date
FINRA	General Securities Principal	APPROVED	09/01/1998
FINRA	General Securities Representative	APPROVED	09/01/1998
FINRA	International - Limited Registration	APPROVED	09/01/1998
FINRA	Investment Banking Representative	APPROVED	04/20/2010
Bats BYX Exchange, Inc.	General Securities Principal	APPROVED	09/24/2013
Bats BYX Exchange, Inc.	General Securities Representative	APPROVED	09/24/2013
Bats BZX Exchange, Inc.	General Securities Principal	APPROVED	09/24/2013
Bats BZX Exchange, Inc.	General Securities Representative	APPROVED	09/24/2013
Bats EDGA Exchange, Inc.	General Securities Principal	APPROVED	05/14/2015
Bats EDGA Exchange, Inc.	General Securities Representative	APPROVED	05/14/2015
Bats EDGX Exchange, Inc.	General Securities Principal	APPROVED	05/14/2015
Bats EDGX Exchange, Inc.	General Securities Representative	APPROVED	05/14/2015
Chicago Board Options Exchange	General Securities Representative	APPROVED	03/08/2011
Chicago Board Options Exchange	International - Limited Registration	APPROVED	10/19/2011
Chicago Stock Exchange	General Securities Principal	APPROVED	05/14/2015
Chicago Stock Exchange	General Securities Representative	APPROVED	05/14/2015
Investors' Exchange LLC	General Securities Principal	APPROVED	08/22/2016
Investors' Exchange LLC	General Securities Representative	APPROVED	08/22/2016

**Broker Qualifications****Employment 1 of 1, continued**

SRO	Category	Status	Date
Investors' Exchange LLC	International - Limited Registration	APPROVED	08/22/2016
NYSE American LLC	General Securities Principal	APPROVED	07/12/2011
NYSE American LLC	General Securities Representative	APPROVED	07/12/2011
NYSE American LLC	Securities Manager	APPROVED	06/26/2010
NYSE Arca, Inc.	General Securities Principal	APPROVED	05/14/2015
NYSE Arca, Inc.	General Securities Representative	APPROVED	05/14/2015
Nasdaq BX, Inc.	General Securities Principal	APPROVED	09/23/2013
Nasdaq BX, Inc.	General Securities Representative	APPROVED	09/23/2013
Nasdaq ISE, LLC	General Securities Principal	APPROVED	05/14/2015
Nasdaq ISE, LLC	General Securities Representative	APPROVED	05/14/2015
Nasdaq PHLX LLC	General Securities Principal	APPROVED	11/18/2011
Nasdaq PHLX LLC	General Securities Representative	APPROVED	11/18/2011
Nasdaq Stock Market	General Securities Principal	APPROVED	07/12/2006
Nasdaq Stock Market	General Securities Representative	APPROVED	07/12/2006
Nasdaq Stock Market	International - Limited Registration	APPROVED	07/12/2006
New York Stock Exchange	General Securities Principal	APPROVED	06/26/2010
New York Stock Exchange	General Securities Representative	APPROVED	09/01/1998
New York Stock Exchange	International - Limited Registration	APPROVED	09/01/1998
New York Stock Exchange	Securities Manager	APPROVED	10/28/2008

U.S. State/ Territory	Category	Status	Date
California	Agent	APPROVED	09/01/1998
Illinois	Agent	APPROVED	09/01/1998
Massachusetts	Agent	APPROVED	09/01/1998
New York	Agent	APPROVED	09/01/1998
Pennsylvania	Agent	APPROVED	09/01/1998

## Broker Qualifications



### Employment 1 of 1, continued

#### Branch Office Locations

This individual does not have any registered Branch Office where the individual is located.

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## Broker Qualifications



### Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below.

**This individual has passed 1 principal/supervisory exam, 2 general industry/product exams, and 1 state securities law exam.**

### Principal/Supervisory Exams

Exam	Category	Date
General Securities Principal Examination	Series 24	11/18/1995

### General Industry/Product Exams

Exam	Category	Date
National Commodity Futures Examination	Series 3	10/17/1990
General Securities Representative Examination	Series 7	10/29/1990

### State Securities Law Exams

Exam	Category	Date
Uniform Securities Agent State Law Examination	Series 63	11/01/1990

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at [www.finra.org/brokerqualifications/registeredrep/](http://www.finra.org/brokerqualifications/registeredrep/).



## Registration and Employment History

### Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
10/1990 - 09/1998	SALOMON BROTHERS INC.	740	NEW YORK, NY

### Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

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Employment Dates	Employer Name	Employer Location
09/1998 - Present	CITIGROUP GLOBAL MARKETS INC.	LONDON

### Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious or fraternal and is recognized as tax exempt.

No information reported.

**End of Report**



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**BrokerCheck Report**

**BRUCE BURNET CLARK**

CRD# 1367298

Report #88707-20781, data current as of Thursday, March 20, 2014.

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Thank you for using FINRA BrokerCheck.

**BRUCE B. CLARK**

CRD# 1367298

This broker is not currently registered with FINRA.

## Report Summary for this Broker



This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

### Broker Qualifications

This broker is not currently registered with FINRA.

#### This broker has passed:

- 1 Principal/Supervisory Exam
- 1 General Industry/Product Exam
- 1 State Securities Law Exam

### Registration History

This broker was previously registered with the following FINRA firm(s):

#### **CITIGROUP GLOBAL MARKETS INC.**

CRD# 7059  
NEW YORK, NY  
12/1998 - 04/2008

#### **CITICORP SECURITIES, INC.**

CRD# 7474  
NEW YORK, NY  
05/1991 - 12/1998

### Disclosure Events

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

Are there events disclosed about this broker? **No**

## Broker Qualifications



### Registrations

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#### Principal/Supervisory Exams

Exam	Category	Date
General Securities Principal Examination	Series 24	05/16/1997

#### General Industry/Product Exams

Exam	Category	Date
General Securities Representative Examination	Series 7	05/06/1991

#### State Securities Law Exams

Exam	Category	Date
Uniform Securities Agent State Law Examination	Series 63	08/02/1991

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## Registration and Employment History



### Registration History

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Registration Dates	Firm Name	CRD#	Branch Location
12/1998 - 04/2008	CITIGROUP GLOBAL MARKETS INC.	7059	NEW YORK, NY
05/1991 - 12/1998	CITICORP SECURITIES, INC.	7474	NEW YORK, NY

### Employment History

Below is the broker's employment history for up to the last 10 years.

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Employment Dates	Employer Name	Employer Location
12/1998 - Present	CITIGROUP GLOBAL MARKETS INC.	NEW YORK, NY
07/1985 - 10/2007	CITICORP NORTH AMERICA INC	NEW YORK, NY

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No information reported.

**End of Report**



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## BrokerCheck Report

**PAUL M DONLIN**

CRD# 2856849

Report #13209-74167, data current as of Monday, August 17, 2015.

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- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <http://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

- **Are there other resources I can use to check the background of investment professionals?**

FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at

[brokercheck.finra.org](http://brokercheck.finra.org)



For additional information about the contents of this report, please refer to the User Guidance or [www.finra.org/brokercheck](http://www.finra.org/brokercheck). It provides a glossary of terms and a list of frequently asked questions, as well as additional resources. For more information about FINRA, visit [www.finra.org](http://www.finra.org).

Thank you for using FINRA BrokerCheck.

**PAUL M. DONLIN**

**CRD# 2856849**

This broker is not currently registered.

## Report Summary for this Broker



This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

### Broker Qualifications

**This broker is not currently registered.**

#### This broker has passed:

- 1 Principal/Supervisory Exam
- 1 General Industry/Product Exam
- 1 State Securities Law Exam

### Disclosure Events

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

Are there events disclosed about this broker? **No**

### Registration History

**This broker was previously registered with the following securities firm(s):**

#### **CITIGROUP GLOBAL MARKETS INC.**

CRD# 7059  
NEW YORK, NY  
12/1998 - 05/2007

#### **CITICORP SECURITIES, INC.**

CRD# 7474  
NEW YORK, NY  
03/1997 - 12/1998

## Broker Qualifications



### Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

This broker is not currently registered.

## Broker Qualifications



### Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below.

**This individual has passed 1 principal/supervisory exam, 1 general industry/product exam, and 1 state securities law exam.**

#### Principal/Supervisory Exams

Exam	Category	Date
General Securities Principal Examination	Series 24	03/27/1997

#### General Industry/Product Exams

Exam	Category	Date
General Securities Representative Examination	Series 7	03/10/1997

#### State Securities Law Exams

Exam	Category	Date
Uniform Securities Agent State Law Examination	Series 63	03/12/1997

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at [www.finra.org/brokerqualifications/registeredrep/](http://www.finra.org/brokerqualifications/registeredrep/).

## Registration and Employment History



### Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
12/1998 - 05/2007	CITIGROUP GLOBAL MARKETS INC.	7059	NEW YORK, NY
03/1997 - 12/1998	CITICORP SECURITIES, INC.	7474	NEW YORK, NY

### Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

**Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.**

Employment Dates	Employer Name	Employer Location
12/1998 - Present	SALOMON SMITH BARNEY INC.	NEW YORK, NY

### Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious or fraternal and is recognized as tax exempt.

No information reported.

## End of Report



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**BrokerCheck Report**

**JOSEPH PATRICK ELMLINGER**

CRD# 2262461

<u>Section Title</u>	<u>Page(s)</u>
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Broker Qualifications	2 - 6
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## About BrokerCheck®

BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.
- Please note that the information contained in a BrokerCheck report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
  - information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
  - information that regulators report regarding disciplinary actions or allegations against firms or brokers.

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**JOSEPH P. ELMLINGER**

CRD# 2262461

**Report Summary for this Broker****Currently employed by and registered with the following Firm(s):****SG AMERICAS SECURITIES, LLC**245 PARK AVENUE  
NEW YORK, NY 10167  
CRD# 128351

Registered with this firm since: 12/23/2015

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

**Broker Qualifications****This broker is registered with:**

- 19 Self-Regulatory Organizations
- 1 U.S. state or territory

**This broker has passed:**

- 2 Principal/Supervisory Exams
- 3 General Industry/Product Exams
- 1 State Securities Law Exam

**Registration History****This broker was previously registered with the following securities firm(s):****CV BROKERAGE, INC**CRD# 462  
WEST CONSHOHOCKEN, PA  
02/2014 - 01/2015**MERRILL LYNCH, PIERCE, FENNER & SMITH  
INCORPORATED**CRD# 7691  
NEW YORK, NY  
11/2010 - 03/2012**BANC OF AMERICA SECURITIES LLC**CRD# 26091  
NEW YORK, NY  
05/2010 - 11/2010**Disclosure Events**

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

Are there events disclosed about this broker? **Yes****The following types of disclosures have been reported:**

Type	Count
Customer Dispute	1

## Broker Qualifications



### Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

**This individual is currently registered with 19 SROs and is licensed in 1 U.S. state or territory through his or her employer.**

### Employment 1 of 1

Firm Name: **SG AMERICAS SECURITIES, LLC**

Main Office Address: **245 PARK AVENUE  
NEW YORK, NY 10167**

Firm CRD#: **128351**

SRO	Category	Status	Date
FINRA	General Securities Principal	APPROVED	12/23/2015
FINRA	General Securities Representative	APPROVED	12/23/2015
FINRA	Registered Options Principal	APPROVED	11/25/2016
FINRA	Securities Trader	APPROVED	01/04/2016
FINRA	Securities Trader Principal	APPROVED	02/12/2016
BOX Options Exchange LLC	General Securities Principal	APPROVED	12/23/2015
BOX Options Exchange LLC	General Securities Representative	APPROVED	12/23/2015
BOX Options Exchange LLC	Registered Options Principal	APPROVED	11/25/2016
BOX Options Exchange LLC	Securities Trader	APPROVED	02/12/2016
BOX Options Exchange LLC	Securities Trader Principal	APPROVED	02/12/2016
Bats BYX Exchange, Inc.	General Securities Principal	APPROVED	12/23/2015
Bats BYX Exchange, Inc.	General Securities Representative	APPROVED	12/23/2015
Bats BYX Exchange, Inc.	Securities Trader	APPROVED	02/12/2016
Bats BYX Exchange, Inc.	Securities Trader Principal	APPROVED	02/12/2016
Bats BZX Exchange, Inc.	General Securities Principal	APPROVED	12/23/2015
Bats BZX Exchange, Inc.	General Securities Representative	APPROVED	12/23/2015
Bats BZX Exchange, Inc.	Registered Options Principal	APPROVED	11/25/2016
Bats BZX Exchange, Inc.	Securities Trader	APPROVED	02/12/2016

**Broker Qualifications****Employment 1 of 1, continued**

<b>SRO</b>	<b>Category</b>	<b>Status</b>	<b>Date</b>
Bats BZX Exchange, Inc.	Securities Trader Principal	APPROVED	02/12/2016
Bats EDGA Exchange, Inc.	General Securities Principal	APPROVED	12/23/2015
Bats EDGA Exchange, Inc.	General Securities Representative	APPROVED	12/23/2015
Bats EDGA Exchange, Inc.	Securities Trader	APPROVED	02/12/2016
Bats EDGA Exchange, Inc.	Securities Trader Principal	APPROVED	02/12/2016
Bats EDGX Exchange, Inc.	General Securities Principal	APPROVED	12/23/2015
Bats EDGX Exchange, Inc.	General Securities Representative	APPROVED	12/23/2015
Bats EDGX Exchange, Inc.	Registered Options Principal	APPROVED	11/25/2016
Bats EDGX Exchange, Inc.	Securities Trader	APPROVED	02/12/2016
Bats EDGX Exchange, Inc.	Securities Trader Principal	APPROVED	02/12/2016
C2 Options Exchange, Incorporated	General Securities Representative	APPROVED	12/23/2015
C2 Options Exchange, Incorporated	Registered Options Principal	APPROVED	11/25/2016
C2 Options Exchange, Incorporated	Securities Trader	APPROVED	02/12/2016
C2 Options Exchange, Incorporated	Securities Trader Principal	APPROVED	02/12/2016
Chicago Board Options Exchange	General Securities Representative	APPROVED	12/23/2015
Chicago Board Options Exchange	Registered Options Principal	APPROVED	11/25/2016
Chicago Board Options Exchange	Securities Trader	APPROVED	02/12/2016
Chicago Board Options Exchange	Securities Trader Principal	APPROVED	02/12/2016
Chicago Stock Exchange	General Securities Principal	APPROVED	12/23/2015
Chicago Stock Exchange	General Securities Representative	APPROVED	12/23/2015
Chicago Stock Exchange	Registered Options Principal	APPROVED	11/25/2016
Chicago Stock Exchange	Securities Trader	APPROVED	02/12/2016
Chicago Stock Exchange	Securities Trader Principal	APPROVED	02/12/2016
Investors' Exchange LLC	General Securities Principal	APPROVED	08/15/2016
Investors' Exchange LLC	General Securities Representative	APPROVED	08/15/2016
Investors' Exchange LLC	Securities Trader	APPROVED	08/15/2016
Investors' Exchange LLC	Securities Trader Principal	APPROVED	08/15/2016

## Broker Qualifications



### Employment 1 of 1, continued

SRO	Category	Status	Date
NYSE American LLC	General Securities Principal	APPROVED	12/23/2015
NYSE American LLC	General Securities Representative	APPROVED	12/23/2015
NYSE American LLC	Registered Options Principal	APPROVED	11/25/2016
NYSE American LLC	Securities Trader	APPROVED	01/04/2016
NYSE American LLC	Securities Trader Principal	APPROVED	02/12/2016
NYSE Arca, Inc.	General Securities Principal	APPROVED	12/23/2015
NYSE Arca, Inc.	General Securities Representative	APPROVED	12/23/2015
NYSE Arca, Inc.	Registered Options Principal	APPROVED	11/25/2016
NYSE Arca, Inc.	Securities Trader	APPROVED	02/12/2016
NYSE Arca, Inc.	Securities Trader Principal	APPROVED	02/12/2016
Nasdaq BX, Inc.	General Securities Principal	APPROVED	12/23/2015
Nasdaq BX, Inc.	General Securities Representative	APPROVED	12/23/2015
Nasdaq BX, Inc.	Registered Options Principal	APPROVED	11/25/2016
Nasdaq BX, Inc.	Securities Trader	APPROVED	02/12/2016
Nasdaq BX, Inc.	Securities Trader Principal	APPROVED	02/12/2016
Nasdaq GEMX, LLC	General Securities Principal	APPROVED	12/23/2015
Nasdaq GEMX, LLC	General Securities Representative	APPROVED	12/23/2015
Nasdaq GEMX, LLC	Registered Options Principal	APPROVED	11/25/2016
Nasdaq GEMX, LLC	Securities Trader	APPROVED	02/12/2016
Nasdaq GEMX, LLC	Securities Trader Principal	APPROVED	02/12/2016
Nasdaq ISE, LLC	General Securities Principal	APPROVED	12/23/2015
Nasdaq ISE, LLC	General Securities Representative	APPROVED	12/23/2015
Nasdaq ISE, LLC	Registered Options Principal	APPROVED	11/25/2016
Nasdaq ISE, LLC	Securities Trader	APPROVED	02/12/2016
Nasdaq ISE, LLC	Securities Trader Principal	APPROVED	02/12/2016
Nasdaq MRX, LLC	General Securities Principal	APPROVED	03/22/2017
Nasdaq MRX, LLC	General Securities Representative	APPROVED	03/22/2017

**Broker Qualifications****Employment 1 of 1, continued**

<b>SRO</b>	<b>Category</b>	<b>Status</b>	<b>Date</b>
Nasdaq MRX, LLC	Registered Options Principal	APPROVED	03/22/2017
Nasdaq MRX, LLC	Securities Trader	APPROVED	03/22/2017
Nasdaq MRX, LLC	Securities Trader Principal	APPROVED	03/22/2017
Nasdaq PHLX LLC	General Securities Principal	APPROVED	12/23/2015
Nasdaq PHLX LLC	General Securities Representative	APPROVED	12/23/2015
Nasdaq PHLX LLC	Registered Options Principal	APPROVED	11/25/2016
Nasdaq PHLX LLC	Securities Trader	APPROVED	02/12/2016
Nasdaq PHLX LLC	Securities Trader Principal	APPROVED	02/12/2016
Nasdaq Stock Market	General Securities Principal	APPROVED	12/23/2015
Nasdaq Stock Market	General Securities Representative	APPROVED	12/23/2015
Nasdaq Stock Market	Registered Options Principal	APPROVED	11/25/2016
Nasdaq Stock Market	Securities Trader	APPROVED	01/04/2016
Nasdaq Stock Market	Securities Trader Principal	APPROVED	02/12/2016
New York Stock Exchange	General Securities Principal	APPROVED	12/23/2015
New York Stock Exchange	General Securities Representative	APPROVED	12/23/2015
New York Stock Exchange	Registered Options Principal	APPROVED	11/25/2016
New York Stock Exchange	Securities Trader	APPROVED	01/04/2016
New York Stock Exchange	Securities Trader Principal	APPROVED	02/12/2016

<b>U.S. State/ Territory</b>	<b>Category</b>	<b>Status</b>	<b>Date</b>
New York	Agent	APPROVED	12/23/2015

**Branch Office Locations**

**SG AMERICAS SECURITIES, LLC**  
 245 PARK AVENUE  
 NEW YORK, NY 10167

## Broker Qualifications



### Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below.

**This individual has passed 2 principal/supervisory exams, 3 general industry/product exams, and 1 state securities law exam.**

#### Principal/Supervisory Exams

Exam	Category	Date
Registered Options Principal Examination	Series 4	11/25/2016
General Securities Principal Examination	Series 24	03/01/2001

#### General Industry/Product Exams

Exam	Category	Date
National Commodity Futures Examination	Series 3	09/15/2010
General Securities Representative Examination	Series 7	12/06/1993
Limited Representative-Equity Trader Exam	Series 55	05/01/2000

#### State Securities Law Exams

Exam	Category	Date
Uniform Securities Agent State Law Examination	Series 63	04/13/1995

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at [www.finra.org/brokerqualifications/registeredrep/](http://www.finra.org/brokerqualifications/registeredrep/).

## Registration and Employment History



### Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
02/2014 - 01/2015	CV BROKERAGE, INC	462	WEST CONSHOHOCKEN, PA
11/2010 - 03/2012	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	NEW YORK, NY
05/2010 - 11/2010	BANC OF AMERICA SECURITIES LLC	26091	NEW YORK, NY
11/1997 - 11/2008	CITIGROUP GLOBAL MARKETS INC.	7059	NEW YORK, NY
12/1993 - 09/1998	SALOMON BROTHERS INC.	740	NEW YORK, NY

### Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

**Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.**

Employment Dates	Employer Name	Employer Location
12/2015 - Present	SG AMERICAS SECURITIES, LLC	NEW YORK, NY
09/2014 - 12/2015	INVESTMENT MANAGER PARTNERS LLC	NEW YORK, NY
02/2014 - 01/2015	CV BROKERAGE INC	W CONSHOHOCKEN, PA
03/2012 - 08/2014	FOUNDATION CAPITAL PARTNERS	GREENWICH, CT
11/2010 - 03/2012	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	NEW YORK, NY
04/2010 - 11/2010	BANC OF AMERICA SECURITIES	NEW YORK, NY
01/2010 - 03/2010	UNEMPLOYED	GREENWICH, CT
05/2009 - 12/2009	THE OPTIONS CLEARING CORPORATION	CHICAGO, IL
11/2008 - 04/2009	UNEMPLOYED	GREENWICH, CT
03/2003 - 10/2008	CITIGROUP GLOBAL MARKETS INC.	NEW YORK, NY

## Registration and Employment History



### Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious or fraternal and is recognized as tax exempt.

No information reported.

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## Disclosure Events



### What you should know about reported disclosure events:

1. All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.
2. **Certain thresholds must be met before an event is reported to CRD, for example:**
  - A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
  - A customer dispute must involve allegations that a broker engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.
  -
3. **Disclosure events in BrokerCheck reports come from different sources:**
  - As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, brokerage firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
  -
4. **There are different statuses and dispositions for disclosure events:**
  - A disclosure event may have a status of *pending*, *on appeal*, or *final*.
    - A "pending" event involves allegations that have not been proven or formally adjudicated.
    - An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
    - A "final" event has been concluded and its resolution is not subject to change.
  - A final event generally has a disposition of *adjudicated*, *settled* or *otherwise resolved*.
    - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
    - A "settled" matter generally involves an agreement by the parties to resolve the matter. Please note that brokers and brokerage firms may choose to settle customer disputes or regulatory matters for business or other reasons.
    - A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.

For your convenience, below is a matrix of the number and status of disclosure events involving this broker. Further information regarding these events can be found in the subsequent pages of this report. You also may wish to contact the broker to obtain further information regarding these events.

	Pending	Final	On Appeal
Customer Dispute	1	0	N/A





## Disclosure Event Details

When evaluating this information, please keep in mind that a disclosure event may be pending or involve allegations that are contested and have not been resolved or proven. The matter may, in the end, be withdrawn, dismissed, resolved in favor of the broker, or concluded through a negotiated settlement for certain business reasons (e.g., to maintain customer relationships or to limit the litigation costs associated with disputing the allegations) with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to CRD and therefore some of the specific data fields contained in the report may be blank if the information was not provided to CRD.

### Customer Dispute - Pending

This type of disclosure event involves (1) a pending consumer-initiated, investment-related arbitration or civil suit that contains allegations of sales practice violations against the broker; or (2) a pending, consumer-initiated, investment-related written complaint containing allegations that the broker engaged in, sales practice violations resulting in compensatory damages of at least \$5,000, forgery, theft, or misappropriation, or conversion of funds or securities.

#### Disclosure 1 of 1

<b>Reporting Source:</b>	Broker
<b>Employing firm when activities occurred which led to the complaint:</b>	N/A
<b>Allegations:</b>	Plaintiff made a direct investment in a private company (Foundation Capital Partners LLC) in February 2014; no broker-dealer was involved. Plaintiff subsequently sued Foundation and three of its principals, as well as Mr. Elmlinger who served as Foundation's Head of Risk and Structuring, alleging that the investment was induced by fraudulent misrepresentations. The statements attributable to Mr. Elmlinger were alleged to have been made in February 2014.
<b>Product Type:</b>	Other: Units in a private LLC
<b>Alleged Damages:</b>	\$6,750,000.00
<b>Alleged Damages Amount Explanation (if amount not exact):</b>	Damages in an amount to be determined at trial. FIH, LLC invested \$6,750,000 in total.

## Civil Litigation Information

<b>Type of Court:</b>	Federal Court
<b>Name of Court:</b>	United States District Court for the District of Connecticut (New Haven)
<b>Location of Court:</b>	New Haven, CT



**Docket/Case #:** 3:15CV-00785 (JBA)

**Date Notice/Process Served:** 06/08/2015

**Litigation Pending?** Yes

**Broker Statement** I did not misrepresent any facts to the plaintiff or to anyone else, and I will vigorously contest all allegations of wrongdoing. I am a minor participant in the case, and all but one of the claims against me were dismissed in the court's March 30, 2016 decision.

## End of Report



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**BrokerCheck Report**  
**THOMAS FONTANA**  
CRD# 2007011

<b><u>Section Title</u></b>	<b><u>Page(s)</u></b>
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[brokercheck.finra.org](http://brokercheck.finra.org)



For additional information about the contents of this report, please refer to the User Guidance or [www.finra.org/brokercheck](http://www.finra.org/brokercheck). It provides a glossary of terms and a list of frequently asked questions, as well as additional resources.

For more information about FINRA, visit [www.finra.org](http://www.finra.org).

**THOMAS FONTANA**

**CRD# 2007011**

This broker is not currently registered.

## Report Summary for this Broker



This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

### Broker Qualifications

This broker is not currently registered.

#### This broker has passed:

- 1 Principal/Supervisory Exam
- 2 General Industry/Product Exams
- 1 State Securities Law Exam

### Disclosure Events

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

Are there events disclosed about this broker? **No**

### Registration History

This broker was previously registered with the following securities firm(s):

**CITIGROUP GLOBAL MARKETS INC.**  
CRD# 7059  
NEW YORK, NY  
12/1998 - 09/2015

**CITICORP SECURITIES, INC.**  
CRD# 7474  
NEW YORK, NY  
11/1989 - 12/1998



## Broker Qualifications



### Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

This broker is not currently registered.

## Broker Qualifications



### Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below.

**This individual has passed 1 principal/supervisory exam, 2 general industry/product exams, and 1 state securities law exam.**

### Principal/Supervisory Exams

Exam	Category	Date
General Securities Principal Examination	Series 24	11/19/2004

### General Industry/Product Exams

Exam	Category	Date
Securities Industry Essentials Examination	SIE	09/09/2015
General Securities Representative Examination	Series 7	11/18/1989

### State Securities Law Exams

Exam	Category	Date
Uniform Securities Agent State Law Examination	Series 63	12/02/1993

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at [www.finra.org/brokerqualifications/registeredrep/](http://www.finra.org/brokerqualifications/registeredrep/).



## Registration and Employment History

### Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
12/1998 - 09/2015	CITIGROUP GLOBAL MARKETS INC.	7059	NEW YORK, NY
11/1989 - 12/1998	CITICORP SECURITIES, INC.	7474	NEW YORK, NY

### Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

**Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.**

Employment Dates	Employer Name	Employer Location
12/1998 - Present	CITIGROUP GLOBAL MARKETS INC.	NEW YORK, NY

### Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious or fraternal and is recognized as tax exempt.

No information reported.

**End of Report**



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**BrokerCheck Report**

**LEON J GROSS**

CRD# 2608964

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 3
Registration and Employment History	4
Disclosure Events	5



## About BrokerCheck®

BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.

- Please note that the information contained in a BrokerCheck report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
  - information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
  - information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <https://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

- **Are there other resources I can use to check the background of investment professionals?**

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

Thank you for using FINRA BrokerCheck.



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For more information about FINRA, visit [www.finra.org](http://www.finra.org).

**LEON J. GROSS**

CRD# 2608964

This broker is not currently registered.

**Report Summary for this Broker**

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

**Broker Qualifications****This broker is not currently registered.****This broker has passed:**

- 1 Principal/Supervisory Exam
- 2 General Industry/Product Exams
- 1 State Securities Law Exam

**Registration History****This broker was previously registered with the following securities firm(s):****CITIGROUP GLOBAL MARKETS INC.**  
CRD# 7059  
NEW YORK, NY  
11/1997 - 03/2009**SALOMON BROTHERS INC.**  
CRD# 740  
NEW YORK, NY  
04/1995 - 09/1998**Disclosure Events**

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

Are there events disclosed about this broker? **Yes****The following types of disclosures have been reported:**

Type	Count
Judgment/Lien	2

## Broker Qualifications



### Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

This broker is not currently registered.



## Broker Qualifications



### Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below.

**This individual has passed 1 principal/supervisory exam, 2 general industry/product exams, and 1 state securities law exam.**

### Principal/Supervisory Exams

Exam	Category	Date
General Securities Principal Examination	Series 24	12/06/2002

### General Industry/Product Exams

Exam	Category	Date
National Commodity Futures Examination	Series 3	03/28/2000
General Securities Representative Examination	Series 7	04/17/1995

### State Securities Law Exams

Exam	Category	Date
Uniform Securities Agent State Law Examination	Series 63	04/09/1996

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at [www.finra.org/brokerqualifications/registeredrep/](http://www.finra.org/brokerqualifications/registeredrep/).



## Registration and Employment History

### Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
11/1997 - 03/2009	CITIGROUP GLOBAL MARKETS INC.	7059	NEW YORK, NY
04/1995 - 09/1998	SALOMON BROTHERS INC.	740	NEW YORK, NY

### Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.

Employment Dates	Employer Name	Employer Location
07/2017 - Present	Walleye Trading LLC	Plymouth, MN
02/2009 - 07/2017	Self-employed	New York, NY
11/1997 - 02/2009	CITIGROUP GLOBAL MARKETS INC.	NEW YORK, NY
08/1994 - 10/2007	SALOMON BROTHERS	NY, NY

### Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious or fraternal and is recognized as tax exempt.

No information reported.

## Disclosure Events



### What you should know about reported disclosure events:

1. All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.
2. **Certain thresholds must be met before an event is reported to CRD, for example:**
  - A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
  - A customer dispute must involve allegations that a broker engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.
  -
3. **Disclosure events in BrokerCheck reports come from different sources:**
  - As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, brokerage firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
  -
4. **There are different statuses and dispositions for disclosure events:**
  - A disclosure event may have a status of *pending*, *on appeal*, or *final*.
    - A "pending" event involves allegations that have not been proven or formally adjudicated.
    - An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
    - A "final" event has been concluded and its resolution is not subject to change.
  - A final event generally has a disposition of *adjudicated*, *settled* or *otherwise resolved*.
    - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
    - A "settled" matter generally involves an agreement by the parties to resolve the matter. Please note that brokers and brokerage firms may choose to settle customer disputes or regulatory matters for business or other reasons.
    - A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.

For your convenience, below is a matrix of the number and status of disclosure events involving this broker. Further information regarding these events can be found in the subsequent pages of this report. You also may wish to contact the broker to obtain further information regarding these events.

	Pending	Final	On Appeal
Judgment/Lien	2	N/A	N/A





## Disclosure Event Details

When evaluating this information, please keep in mind that a disclosure event may be pending or involve allegations that are contested and have not been resolved or proven. The matter may, in the end, be withdrawn, dismissed, resolved in favor of the broker, or concluded through a negotiated settlement for certain business reasons (e.g., to maintain customer relationships or to limit the litigation costs associated with disputing the allegations) with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to CRD and therefore some of the specific data fields contained in the report may be blank if the information was not provided to CRD.

### Judgment / Lien

This type of disclosure event involves an unsatisfied and outstanding judgments or liens against the broker.

#### Disclosure 1 of 2

<b>Reporting Source:</b>	Broker
<b>Judgment/Lien Holder:</b>	New York State
<b>Judgment/Lien Amount:</b>	\$59.63
<b>Judgment/Lien Type:</b>	Tax
<b>Date Filed with Court:</b>	11/04/2015
<b>Date Individual Learned:</b>	06/25/2017
<b>Type of Court:</b>	New York County Clerk's Office
<b>Name of Court:</b>	New York County Clerk
<b>Location of Court:</b>	New York, NY
<b>Docket/Case #:</b>	E-035780612-W2005-5
<b>Judgment/Lien Outstanding?</b>	Yes
<b>Broker Statement</b>	Balance has been paid and warrant is pending satisfaction as of the date of this filing.

#### Disclosure 2 of 2

<b>Reporting Source:</b>	Broker
<b>Judgment/Lien Holder:</b>	New York State
<b>Judgment/Lien Amount:</b>	\$1,068.54
<b>Judgment/Lien Type:</b>	Tax



**Date Filed with Court:** 02/26/2013  
**Date Individual Learned:** 06/25/2017  
**Type of Court:** New York County Clerk's Office  
**Name of Court:** New York County Clerk  
**Location of Court:** New York, NY  
**Docket/Case #:** E-035780612-W003-6  
**Judgment/Lien Outstanding?** Yes  
**Broker Statement** Balance has been paid and warrant is pending satisfaction as of the date of this filing.

**End of Report**



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**BrokerCheck Report**  
**RAMESH C GUPTA**  
CRD# 2225119

<u>Section Title</u>	<u>Page(s)</u>
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## About BrokerCheck®

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- **Where did this information come from?**

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  - information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
  - information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <https://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

- **Are there other resources I can use to check the background of investment professionals?**

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**RAMESH C. GUPTA**

**CRD# 2225119**

This broker is not currently registered.

## Report Summary for this Broker



This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

### Broker Qualifications

**This broker is not currently registered.**

#### This broker has passed:

- 2 Principal/Supervisory Exams
- 2 General Industry/Product Exams
- 1 State Securities Law Exam

### Registration History

**This broker was previously registered with the following securities firm(s):**

#### **CITIGROUP GLOBAL MARKETS INC.**

CRD# 7059  
NEW YORK, NY  
12/1998 - 07/2014

#### **CITICORP SECURITIES, INC.**

CRD# 7474  
NEW YORK, NY  
04/1992 - 12/1998

### Disclosure Events

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

Are there events disclosed about this broker? **No**

## Broker Qualifications



### Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

This broker is not currently registered.

## Broker Qualifications



### Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below.

**This individual has passed 2 principal/supervisory exams, 2 general industry/product exams, and 1 state securities law exam.**

### Principal/Supervisory Exams

Exam	Category	Date
General Securities Principal Examination	Series 24	11/03/1999
Municipal Securities Principal Examination	Series 53	08/10/1994

### General Industry/Product Exams

Exam	Category	Date
National Commodity Futures Examination	Series 3	11/23/1999
General Securities Representative Examination	Series 7	04/11/1992

### State Securities Law Exams

Exam	Category	Date
Uniform Securities Agent State Law Examination	Series 63	04/15/1992

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## Registration and Employment History



### Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
12/1998 - 07/2014	CITIGROUP GLOBAL MARKETS INC.	7059	NEW YORK, NY
04/1992 - 12/1998	CITICORP SECURITIES, INC.	7474	NEW YORK, NY

### Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

**Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.**

Employment Dates	Employer Name	Employer Location
12/1998 - Present	CITIGROUP GLOBAL MARKETS INC.	NEW YORK, NY

### Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious or fraternal and is recognized as tax exempt.

No information reported.

**End of Report**



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**BrokerCheck Report**  
**SAMIR KUMAR MATHUR**  
CRD# 3029982

<u>Section Title</u>	<u>Page(s)</u>
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## About BrokerCheck®



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- **What is included in a BrokerCheck report?**

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- Please note that the information contained in a BrokerCheck report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

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  - information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
  - information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

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- **Are there other resources I can use to check the background of investment professionals?**

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

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For additional information about the contents of this report, please refer to the User Guidance or [www.finra.org/brokercheck](http://www.finra.org/brokercheck). It provides a glossary of terms and a list of frequently asked questions, as well as additional resources.

[For more information about FINRA, visit www.finra.org.](http://www.finra.org)



**SAMIR K. MATHUR**

CRD# 3029982

**Currently employed by and registered with the following Firm(s):****AMERICAN FUNDS DISTRIBUTORS, INC.**  
333 SOUTH HOPE STREET, 55TH FLOOR  
LOS ANGELES, CA 90071-1447  
CRD# 6247

Registered with this firm since: 02/21/2014

**Report Summary for this Broker**

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

**Broker Qualifications****This broker is registered with:**

- 1 Self-Regulatory Organization
- 3 U.S. states and territories

**This broker has passed:**

- 1 Principal/Supervisory Exam
- 1 General Industry/Product Exam
- 1 State Securities Law Exam

**Registration History****This broker was previously registered with the following securities firm(s):****CITIGROUP GLOBAL MARKETS INC.**  
CRD# 7059  
NEW YORK, NY  
12/1998 - 03/2012**CITICORP SECURITIES, INC.**  
CRD# 7474  
NEW YORK, NY  
05/1998 - 12/1998**Disclosure Events**

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

Are there events disclosed about this broker? **No**

## Broker Qualifications



### Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

**This individual is currently registered with 1 SRO and is licensed in 3 U.S. states and territories through his or her employer.**

### Employment 1 of 1

Firm Name: **AMERICAN FUNDS DISTRIBUTORS, INC.**

Main Office Address: **333 S. HOPE ST. 55TH FL.  
LOS ANGELES, CA 90071**

Firm CRD#: **6247**

SRO	Category	Status	Date
FINRA	General Securities Principal	APPROVED	02/21/2014
FINRA	General Securities Representative	APPROVED	02/21/2014

U.S. State/ Territory	Category	Status	Date
California	Agent	APPROVED	02/21/2014
New Jersey	Agent	APPROVED	02/21/2014
New York	Agent	APPROVED	02/21/2014

### Branch Office Locations

**AMERICAN FUNDS DISTRIBUTORS, INC.**  
333 SOUTH HOPE STREET, 55TH FLOOR  
LOS ANGELES, CA 90071-1447

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## Broker Qualifications



### Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below.

**This individual has passed 1 principal/supervisory exam, 1 general industry/product exam, and 1 state securities law exam.**

### Principal/Supervisory Exams

Exam	Category	Date
General Securities Principal Examination	Series 24	04/15/2002

### General Industry/Product Exams

Exam	Category	Date
General Securities Representative Examination	Series 7	05/26/1998

### State Securities Law Exams

Exam	Category	Date
Uniform Securities Agent State Law Examination	Series 63	10/26/1998

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at [www.finra.org/brokerqualifications/registeredrep/](http://www.finra.org/brokerqualifications/registeredrep/).



## Registration and Employment History

### Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
12/1998 - 03/2012	CITIGROUP GLOBAL MARKETS INC.	7059	NEW YORK, NY
05/1998 - 12/1998	CITICORP SECURITIES, INC.	7474	NEW YORK, NY

### Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

**Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.**

Employment Dates	Employer Name	Employer Location
02/2014 - Present	AMERICAN FUNDS/CAPITAL GROUP CO'S	LOS ANGELES, CA
09/2012 - Present	CAPITAL RESEARCH CO.	NEW YORK, NY
12/1998 - 12/2012	CITIGROUP GLOBAL MARKETS INC.	NEW YORK, NY
03/2012 - 09/2012	SMARTCAP ADVISORS INC.	ENGLEWOOD CLIFFS, NJ

### Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious or fraternal and is recognized as tax exempt.

No information reported.

## End of Report



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**BrokerCheck Report**

**ELENA THERESA MATRULLO**

CRD# 1715807

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## About BrokerCheck®

BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.
- Please note that the information contained in a BrokerCheck report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
  - information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
  - information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <https://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

- **Are there other resources I can use to check the background of investment professionals?**

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

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For more information about FINRA, visit [www.finra.org](http://www.finra.org).

**ELENA T. MATRULLO**

CRD# 1715807

**Report Summary for this Broker**

This broker is not currently registered.

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

**Broker Qualifications****This broker is not currently registered.****This broker has passed:**

- 0 Principal/Supervisory Exams
- 1 General Industry/Product Exam
- 0 State Securities Law Exams

**Registration History****This broker was previously registered with the following securities firm(s):****BARCLAYS CAPITAL INC.**CRD# 19714  
NEW YORK, NY  
07/2008 - 02/2013**CITIGROUP GLOBAL MARKETS INC.**CRD# 7059  
NEW YORK, NY  
10/2005 - 06/2008**Disclosure Events**

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

Are there events disclosed about this broker? **No**



## Broker Qualifications



### Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

This broker is not currently registered.

## Broker Qualifications



### Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below.

**This individual has passed 0 principal/supervisory exams, 1 general industry/product exam, and 0 state securities law exams.**

### Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

### General Industry/Product Exams

Exam	Category	Date
General Securities Representative Examination	Series 7	10/25/2005

### State Securities Law Exams

Exam	Category	Date
No information reported.		

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at [www.finra.org/brokerqualifications/registeredrep/](http://www.finra.org/brokerqualifications/registeredrep/).



## Registration and Employment History

### Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
07/2008 - 02/2013	BARCLAYS CAPITAL INC.	19714	NEW YORK, NY
10/2005 - 06/2008	CITIGROUP GLOBAL MARKETS INC.	7059	NEW YORK, NY

### Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

**Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.**

Employment Dates	Employer Name	Employer Location
05/2008 - Present	BARCLAYS CAPITAL	NEW YORK, NY
05/1991 - 05/2008	CITIGROUP GLOBAL MARKETS INC.	NEW YORK, NY

### Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious or fraternal and is recognized as tax exempt.

No information reported.

## End of Report



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**BrokerCheck Report**  
**VISHAL MISHRA**  
CRD# 4007221

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**VISHAL MISHRA**

CRD# 4007221

**Report Summary for this Broker**

This broker is not currently registered.

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

**Broker Qualifications**

This broker is not currently registered.

**This broker has passed:**

- 1 Principal/Supervisory Exam
- 1 General Industry/Product Exam
- 1 State Securities Law Exam

**Disclosure Events**

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

Are there events disclosed about this broker? **No**

**Registration History**

This broker was previously registered with the following securities firm(s):

**CITIGROUP GLOBAL MARKETS INC.**  
CRD# 7059  
NEW YORK, NY  
11/1999 - 01/2014

## Broker Qualifications



### Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

This broker is not currently registered.



## Broker Qualifications



### Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below.

**This individual has passed 1 principal/supervisory exam, 1 general industry/product exam, and 1 state securities law exam.**

### Principal/Supervisory Exams

Exam	Category	Date
General Securities Principal Examination	Series 24	12/21/2010

### General Industry/Product Exams

Exam	Category	Date
General Securities Representative Examination	Series 7	11/01/1999

### State Securities Law Exams

Exam	Category	Date
Uniform Securities Agent State Law Examination	Series 63	11/19/1999

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## Registration and Employment History

### Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
11/1999 - 01/2014	CITIGROUP GLOBAL MARKETS INC.	7059	NEW YORK, NY

### Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

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Employment Dates	Employer Name	Employer Location
07/1999 - Present	CITIGROUP GLOBAL MARKETS INC.	NEW YORK, NY

### Other Business Activities

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No information reported.

**End of Report**



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**BrokerCheck Report**  
**MATTHEW NICHOLLS**  
CRD# 4707836

<u>Section Title</u>	<u>Page(s)</u>
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- **Are there other resources I can use to check the background of investment professionals?**

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For more information about FINRA, visit [www.finra.org](http://www.finra.org).

**MATTHEW NICHOLLS**

CRD# 4707836

**Currently employed by and registered with the following Firm(s):**

**CITIGROUP GLOBAL MARKETS INC.**

390 GREENWICH STREET  
388 GREENWICH STREET  
NEW YORK, NY 10013  
CRD# 7059

Registered with this firm since: 02/09/2004

**Report Summary for this Broker**

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

**Broker Qualifications**

**This broker is registered with:**

- 15 Self-Regulatory Organizations
- 53 U.S. states and territories

**This broker has passed:**

- 1 Principal/Supervisory Exam
- 1 General Industry/Product Exam
- 1 State Securities Law Exam

**Registration History**

**This broker was previously registered with the following securities firm(s):**

No information reported.

**Disclosure Events**

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

Are there events disclosed about this broker? **No**

## Broker Qualifications



### Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

**This individual is currently registered with 15 SROs and is licensed in 53 U.S. states and territories through his or her employer.**

### Employment 1 of 1

Firm Name: **CITIGROUP GLOBAL MARKETS INC.**

Main Office Address: **390 - 388 GREENWICH STREET  
NEW YORK, NY 10013-2396**

Firm CRD#: **7059**

SRO	Category	Status	Date
FINRA	General Securities Principal	APPROVED	01/01/2010
FINRA	General Securities Representative	APPROVED	02/09/2004
FINRA	Investment Banking Representative	APPROVED	02/03/2010
Bats BYX Exchange, Inc.	General Securities Principal	APPROVED	09/24/2013
Bats BYX Exchange, Inc.	General Securities Representative	APPROVED	09/24/2013
Bats BZX Exchange, Inc.	General Securities Principal	APPROVED	09/24/2013
Bats BZX Exchange, Inc.	General Securities Representative	APPROVED	09/24/2013
Bats EDGA Exchange, Inc.	General Securities Principal	APPROVED	05/14/2015
Bats EDGA Exchange, Inc.	General Securities Representative	APPROVED	05/14/2015
Bats EDGX Exchange, Inc.	General Securities Principal	APPROVED	05/14/2015
Bats EDGX Exchange, Inc.	General Securities Representative	APPROVED	05/14/2015
Chicago Board Options Exchange	General Securities Representative	APPROVED	03/08/2011
Chicago Stock Exchange	General Securities Principal	APPROVED	05/14/2015
Chicago Stock Exchange	General Securities Representative	APPROVED	05/14/2015
Investors' Exchange LLC	General Securities Principal	APPROVED	08/19/2016
Investors' Exchange LLC	General Securities Representative	APPROVED	08/19/2016
NYSE American LLC	General Securities Principal	APPROVED	07/12/2011
NYSE American LLC	General Securities Representative	APPROVED	07/12/2011

## Broker Qualifications



### Employment 1 of 1, continued

SRO	Category	Status	Date
NYSE American LLC	Securities Manager	APPROVED	02/26/2014
NYSE Arca, Inc.	General Securities Principal	APPROVED	05/14/2015
NYSE Arca, Inc.	General Securities Representative	APPROVED	05/14/2015
Nasdaq BX, Inc.	General Securities Principal	APPROVED	08/28/2013
Nasdaq BX, Inc.	General Securities Representative	APPROVED	08/28/2013
Nasdaq ISE, LLC	General Securities Principal	APPROVED	05/14/2015
Nasdaq ISE, LLC	General Securities Representative	APPROVED	05/14/2015
Nasdaq PHLX LLC	General Securities Principal	APPROVED	11/18/2011
Nasdaq PHLX LLC	General Securities Representative	APPROVED	11/18/2011
Nasdaq Stock Market	General Securities Principal	APPROVED	01/01/2010
Nasdaq Stock Market	General Securities Representative	APPROVED	07/12/2006
New York Stock Exchange	General Securities Principal	APPROVED	06/26/2010
New York Stock Exchange	General Securities Representative	APPROVED	02/09/2004
New York Stock Exchange	Securities Manager	APPROVED	02/26/2014

U.S. State/ Territory	Category	Status	Date	U.S. State/ Territory	Category	Status	Date
Alabama	Agent	APPROVED	05/11/2017	Georgia	Agent	APPROVED	05/11/2017
Alaska	Agent	APPROVED	05/11/2017	Hawaii	Agent	APPROVED	05/11/2017
Arizona	Agent	APPROVED	05/11/2017	Idaho	Agent	APPROVED	05/11/2017
Arkansas	Agent	APPROVED	05/11/2017	Illinois	Agent	APPROVED	05/11/2017
California	Agent	APPROVED	05/11/2017	Indiana	Agent	APPROVED	05/11/2017
Colorado	Agent	APPROVED	05/11/2017	Iowa	Agent	APPROVED	05/11/2017
Connecticut	Agent	APPROVED	05/11/2017	Kansas	Agent	APPROVED	05/11/2017
Delaware	Agent	APPROVED	05/11/2017	Kentucky	Agent	APPROVED	05/11/2017
District of Columbia	Agent	APPROVED	05/11/2017	Louisiana	Agent	APPROVED	05/11/2017
Florida	Agent	APPROVED	05/11/2017	Maine	Agent	APPROVED	05/11/2017



**Broker Qualifications****Employment 1 of 1, continued**

U.S. State/ Territory	Category	Status	Date	U.S. State/ Territory	Category	Status	Date
Maryland	Agent	APPROVED	05/11/2017	Utah	Agent	APPROVED	05/11/2017
Massachusetts	Agent	APPROVED	05/11/2017	Vermont	Agent	APPROVED	05/11/2017
Michigan	Agent	APPROVED	05/11/2017	Virgin Islands	Agent	APPROVED	05/11/2017
Minnesota	Agent	APPROVED	05/11/2017	Virginia	Agent	APPROVED	05/11/2017
Mississippi	Agent	APPROVED	05/11/2017	Washington	Agent	APPROVED	05/11/2017
Missouri	Agent	APPROVED	05/11/2017	West Virginia	Agent	APPROVED	05/11/2017
Montana	Agent	APPROVED	05/11/2017	Wisconsin	Agent	APPROVED	05/11/2017
Nebraska	Agent	APPROVED	05/11/2017	Wyoming	Agent	APPROVED	05/11/2017
Nevada	Agent	APPROVED	05/11/2017				
New Hampshire	Agent	APPROVED	05/11/2017				
New Jersey	Agent	APPROVED	05/11/2017				
New Mexico	Agent	APPROVED	05/11/2017				
New York	Agent	APPROVED	03/01/2004				
North Carolina	Agent	APPROVED	05/11/2017				
North Dakota	Agent	APPROVED	05/11/2017				
Ohio	Agent	APPROVED	05/12/2017				
Oklahoma	Agent	APPROVED	05/11/2017				
Oregon	Agent	APPROVED	05/11/2017				
Pennsylvania	Agent	APPROVED	05/11/2017				
Puerto Rico	Agent	APPROVED	05/11/2017				
Rhode Island	Agent	APPROVED	05/11/2017				
South Carolina	Agent	APPROVED	05/11/2017				
South Dakota	Agent	APPROVED	05/11/2017				
Tennessee	Agent	APPROVED	06/14/2017				
Texas	Agent	APPROVED	05/11/2017				

## Broker Qualifications



### Employment 1 of 1, continued

#### Branch Office Locations

CITIGROUP GLOBAL MARKETS INC.  
390 GREENWICH STREET  
388 GREENWICH STREET  
NEW YORK, NY 10013

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## Broker Qualifications



### Industry Exams this Broker has Passed

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**This individual has passed 1 principal/supervisory exam, 1 general industry/product exam, and 1 state securities law exam.**

#### Principal/Supervisory Exams

Exam	Category	Date
General Securities Principal Examination	Series 24	12/23/2009

#### General Industry/Product Exams

Exam	Category	Date
General Securities Representative Examination	Series 7	02/06/2004

#### State Securities Law Exams

Exam	Category	Date
Uniform Securities Agent State Law Examination	Series 63	02/23/2004

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## Registration and Employment History

### Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
No information reported.			

### Employment History

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Employment Dates	Employer Name	Employer Location
09/1995 - Present	CITIGROUP GLOBAL MARKETS INC.	NEW YORK, NY

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No information reported.

## End of Report



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**BrokerCheck Report**

**RAJIV KRISHNA SENNAR**

CRD# 4239248

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**RAJIV K. SENNAR**

CRD# 4239248

**Report Summary for this Broker**

This broker is not currently registered.

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

**Broker Qualifications**

This broker is not currently registered.

**This broker has passed:**

- 0 Principal/Supervisory Exams
- 1 General Industry/Product Exam
- 1 State Securities Law Exam

**Disclosure Events**

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

Are there events disclosed about this broker? **No**

**Registration History**

This broker was previously registered with the following securities firm(s):

**CITIGROUP GLOBAL MARKETS INC.**

CRD# 7059  
NEW YORK, NY  
12/2005 - 05/2008

**BNP PARIBAS SECURITIES CORP.**

CRD# 15794  
NEW YORK, NY  
12/2003 - 06/2005



## Broker Qualifications



### Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

This broker is not currently registered.

## Broker Qualifications



### Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below.

**This individual has passed 0 principal/supervisory exams, 1 general industry/product exam, and 1 state securities law exam.**

### Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

### General Industry/Product Exams

Exam	Category	Date
General Securities Representative Examination	Series 7	12/11/2003

### State Securities Law Exams

Exam	Category	Date
Uniform Securities Agent State Law Examination	Series 63	01/31/2006

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at [www.finra.org/brokerqualifications/registeredrep/](http://www.finra.org/brokerqualifications/registeredrep/).



## Registration and Employment History

### Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
12/2005 - 05/2008	CITIGROUP GLOBAL MARKETS INC.	7059	NEW YORK, NY
12/2003 - 06/2005	BNP PARIBAS SECURITIES CORP.	15794	NEW YORK, NY

### Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

**Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.**

Employment Dates	Employer Name	Employer Location
06/2005 - Present	CITIGROUP GLOBAL MARKETS INC.	NEW YORK, NY

### Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious or fraternal and is recognized as tax exempt.

No information reported.

**End of Report**



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